

**FEC  
FORM 3X****REPORT OF RECEIPTS  
AND DISBURSEMENTS**  
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines.

12FE4M5

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street) ▼

1101 New York Avenue, NW

8th Floor

☐ Check if different than previously reported. (ACC)

Washington

DC

20005

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

C C00431312

3. IS THIS  
REPORT☒NEW  
(N)

OR

☐AMENDED  
(A)

## 4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15  
Quarterly Report (Q1)☐ July 15  
Quarterly Report (Q2)☐ October 15  
Quarterly Report (Q3)☐ January 31  
Year-End Report (YE)☐ July 31 Mid-Year  
Report (Non-election  
Year Only) (MY)☐ Termination Report  
(TER)(b) Monthly  
Report  
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)  
(Non-Election  
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☒ Sep 20 (M9)☐ Dec 20 (M12)  
(Non-Election  
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐ Primary (12P)☐ Convention (12C)☐ General (12G)☐ Special (12S)☐ Runoff (12R)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y

in the  
State of

(d) 30-Day

POST-Election

Report for the:

☐ General (30G)☐ Runoff (30R)☐ Special (30S)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y

in the  
State of

5. Covering Period

M M M /

D D D /

Y Y Y Y Y Y Y

through

M M M /

D D D /

Y Y Y Y Y Y Y

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Kenneth E. Bentsen Jr.

Signature of Treasurer

Mr. Kenneth E. Bentsen Jr.

[Electronically Filed]

Date

M M M /

D D D /

Y Y Y Y Y Y Y

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office  
Use  
Only**FEC FORM 3X**  
Rev. 12/2004

# SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: M M / D D / Y Y Y Y Y Y  
08 / 01 / 2012 To: M M / D D / Y Y Y Y Y Y  
08 / 31 / 2012

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, <span style="border: 1px solid black; padding: 2px;">Y Y Y Y Y Y</span> <span style="border: 1px solid black; padding: 2px;">2012</span>		<span style="border: 1px solid black; padding: 2px;">253204.51</span>
(b) Cash on Hand at Beginning of Reporting Period.....	<span style="border: 1px solid black; padding: 2px;">243654.80</span>	
(c) Total Receipts (from Line 19) .....	<span style="border: 1px solid black; padding: 2px;">22719.13</span>	<span style="border: 1px solid black; padding: 2px;">217129.54</span>
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	<span style="border: 1px solid black; padding: 2px;">266373.93</span>	<span style="border: 1px solid black; padding: 2px;">470334.05</span>
7. Total Disbursements (from Line 31) .....	<span style="border: 1px solid black; padding: 2px;">490.38</span>	<span style="border: 1px solid black; padding: 2px;">204450.50</span>
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	<span style="border: 1px solid black; padding: 2px;">265883.55</span>	<span style="border: 1px solid black; padding: 2px;">265883.55</span>
9. Debts and Obligations Owed <b>TO</b> the Committee (Itemize all on Schedule C and/or Schedule D) .....	<span style="border: 1px solid black; padding: 2px;">0.00</span>	
10. Debts and Obligations Owed <b>BY</b> the Committee (Itemize all on Schedule C and/or Schedule D) .....	<span style="border: 1px solid black; padding: 2px;">0.00</span>	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

## For further information contact:

Federal Election Commission  
999 E Street, NW  
Washington, DC 20463

Toll Free 800-424-9530  
Local 202-694-1100

# **DETAILED SUMMARY PAGE** of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

**Securities Industry and Financial Markets Association Political Action Committee**

Report Covering the Period:

From:

M M / D D / Y Y Y Y Y Y  
08 01 2012

To:

M M / D D / Y Y Y Y Y Y  
08 31 2012

**I. Receipts**

**COLUMN A**  
**Total This Period**

**COLUMN B**  
**Calendar Year-to-Date**

## 11. Contributions (other than loans) From:

## (a) Individuals/Persons Other

Than Political Committees

(i) Itemized (use Schedule A).....

14178.68

156402.72

(ii) Unitemized .....

50.07

3351.94

(iii) TOTAL (add

Lines 11(a)(i) and (ii)..... ▶

14228.75

159754.66

(b) Political Party Committees .....

0.00

0.00

(c) Other Political Committees

(such as PACs).....

8000.00

55500.00

(d) Total Contributions (add Lines

11(a)(iii), (b), and (c)) (Carry

Totals to Line 33, page 5) .....

22228.75

215254.66

## 12. Transfers From Affiliated/Other

Party Committees.....

0.00

0.00

## 13. All Loans Received .....

0.00

0.00

## 14. Loan Repayments Received.....

0.00

0.00

## 15. Offsets To Operating Expenditures

(Refunds, Rebates, etc.)

(Carry Totals to Line 37, page 5).....

490.38

1865.88

## 16. Refunds of Contributions Made

to Federal Candidates and Other

Political Committees.....

0.00

0.00

## 17. Other Federal Receipts

(Dividends, Interest, etc.).....

0.00

9.00

## 18. Transfers from Non-Federal and Levin Funds

(a) Non-Federal Account

(from Schedule H3) .....

0.00

0.00

(b) Levin Funds (from Schedule H5) .....

0.00

0.00

(c) Total Transfers (add 18(a) and 18(b))..

0.00

0.00

19. Total Receipts (add Lines 11(d),  
12, 13, 14, 15, 16, 17, and 18(c))..... ▶

22719.13

217129.54

## 20. Total Federal Receipts

(subtract Line 18(c) from Line 19) .....

22719.13

217129.54

# **DETAILED SUMMARY PAGE** of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share .....	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures .....	490.38	1941.50
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b)) .....	490.38	1941.50
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	0.00	202500.00
24. Independent Expenditures (use Schedule E) .....	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees .....	0.00	0.00
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements .....	0.00	9.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share .....	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds .....	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	490.38	204450.50
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	490.38	204450.50

**DETAILED SUMMARY PAGE**  
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3) .....	22228.75	215254.66
34. Total Contribution Refunds (from Line 28(d)) .....	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33) .....	22228.75	215254.66
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ..... ►	490.38	1941.50
37. Offsets to Operating Expenditures (from Line 15, page 3).....	490.38	1865.88
38. Net Operating Expenditures (subtract Line 37 from Line 36) ..... ►	0.00	75.62

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Mr. Laurence Kantor**

Mailing Address 745 7th Avenue

City  
New York

State Zip Code  
NY 10019-6801

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Barclays Capital

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

08 / 02 / 2012

**Transaction ID : 20238952**

Amount of Each Receipt this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

**B. Ms. Cheryl Crispen**

Mailing Address 1101 New York Ave, NW

City  
Washington

State Zip Code  
DC 20005-4213

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1442.25

Date of Receipt

08 / 08 / 2012

**Transaction ID : 20262251**

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

**C. Ms. Bradley Gaskins Edgell**

Mailing Address 1101 New York Ave, NW  
8th Floor

City  
Washington

State Zip Code  
DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

499.50

Date of Receipt

08 / 08 / 2012

**Transaction ID : 20262253**

Amount of Each Receipt this Period

38.50

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

2134.65

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Tracy Eichler**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

288.45

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 08 / 2012

**Transaction ID : 20262254**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

**B. Ms. Lisa Fues**

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

211.55

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 08 / 2012

**Transaction ID : 20262255**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

**C. Marin E. Gibson**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1050.02

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 08 / 2012

**Transaction ID : 20262256**

Amount of Each Receipt this Period

70.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

108.46

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Mr. Kenneth E. Bentsen Jr.**

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2885.25

Date of Receipt

M M / D D / Y Y Y Y Y Y  
08 / 08 / 2012

**Transaction ID : 20262258**

Amount of Each Receipt this Period

192.35

Full Name (Last, First, Middle Initial)

**B. Ms. Lisa Bleier**

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

288.47

Date of Receipt

M M / D D / Y Y Y Y Y Y  
08 / 08 / 2012

**Transaction ID : 20262259**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

**C. Ms. Kyle Brandon**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, DOR

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1421.50

Date of Receipt

M M / D D / Y Y Y Y Y Y  
08 / 08 / 2012

**Transaction ID : 20262260**

Amount of Each Receipt this Period

96.15

**SUBTOTAL** of Receipts This Page (optional)..... ►

307.73

**TOTAL** This Period (last page this line number only)..... ►



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Ms Kim Chamberlain**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

615.00

Date of Receipt

08 / 08 / 2012

**Transaction ID : 20262261**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

**B. Ms. Kristen M. Kimmell**

Mailing Address 19593 Cambridge Court

City State Zip Code  
Farmington MN 55024-1493

FEC ID number of contributing  
federal political committee.

C

Name of Employer

RBC Wealth Management

Occupation

Chief of Staff - Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 21 / 2012

**Transaction ID : 20282264**

Amount of Each Receipt this Period

250.00

Full Name (Last, First, Middle Initial)

**C. Mr. Bradley Angell**

Mailing Address 327 N. 54th Ave, W #3

City State Zip Code  
Duluth MN 55807-2665

FEC ID number of contributing  
federal political committee.

C

Name of Employer

RBC Wealth Management

Occupation

Complex Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 21 / 2012

**Transaction ID : 20282266**

Amount of Each Receipt this Period

250.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

538.50

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Gary D Marino**

Mailing Address 1225 Lake Falls Road

City  
Baltimore

State  
MD

Zip Code  
21210-1015

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation  
Complex Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 21 / 2012

**Transaction ID : 20282267**

Amount of Each Receipt this Period

250.00

Full Name (Last, First, Middle Initial)

**B. Mr. Ward D. Ring**

Mailing Address 5223 Larada Lane

City  
Edina

State  
MN

Zip Code  
55436-1082

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Wealth Management

Occupation  
Wealth Management

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 21 / 2012

**Transaction ID : 20282268**

Amount of Each Receipt this Period

250.00

Full Name (Last, First, Middle Initial)

**C. Ms. Mary Zimmer**

Mailing Address 848 Brenner Avenue

City  
Roseville

State  
MN

Zip Code  
55113-1904

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Wealth Management

Occupation  
Head, Primary Advisor Services

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 21 / 2012

**Transaction ID : 20282269**

Amount of Each Receipt this Period

2500.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

3000.00

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Mr. Kenneth E. Bentsen Jr.**

Mailing Address 1101 New York Ave, NW  
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3077.60

Date of Receipt

08 / 22 / 2012

**Transaction ID : 20290873**

Amount of Each Receipt this Period

192.35

Full Name (Last, First, Middle Initial)

**B. Ms. Lisa Bleier**

Mailing Address 1101 New York Ave, NW  
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

307.70

Date of Receipt

08 / 22 / 2012

**Transaction ID : 20290874**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

**C. Ms. Kyle Brandon**

Mailing Address 120 Broadway  
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director, DOR

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1517.65

Date of Receipt

08 / 22 / 2012

**Transaction ID : 20290875**

Amount of Each Receipt this Period

96.15

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

307.73

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. Ms Kim Chamberlain**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

653.50

Date of Receipt

08 / 22 / 2012

**Transaction ID : 20290876**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

## **B. Ms. Cheryl Crispen**

Mailing Address 1101 New York Ave, NW

City State Zip Code  
Washington DC 20005-4213

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1538.40

Date of Receipt

08 / 22 / 2012

**Transaction ID : 20290877**

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

## **C. Ms. Bradley Gaskins Edgell**

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

538.00

Date of Receipt

08 / 22 / 2012

**Transaction ID : 20290878**

Amount of Each Receipt this Period

38.50

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

173.15

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. Tracy Eichler**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

307.68

Date of Receipt

MM / DD / YYYY  
08 / 22 / 2012

**Transaction ID : 20290879**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

## **B. Ms. Lisa Fues**

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

230.78

Date of Receipt

MM / DD / YYYY  
08 / 22 / 2012

**Transaction ID : 20290880**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

## **C. Marin E. Gibson**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1120.02

Date of Receipt

MM / DD / YYYY  
08 / 22 / 2012

**Transaction ID : 20290881**

Amount of Each Receipt this Period

70.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

108.46

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Larry S Wieseneck**

Mailing Address 23 Bloomfield Way

City

West Orange

State

NJ

Zip Code

07052-4918

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Barclays Capital

Occupation

Chief Strategy Officer

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

M M / D D / Y Y Y Y Y Y  
08 / 08 / 2012

**Transaction ID : 20336128**

Amount of Each Receipt this Period

2500.00

Full Name (Last, First, Middle Initial)

**B. Mr. Chet Helck**

Mailing Address 255 6th Avenue

City

Tierra Verde

State

FL

Zip Code

33715-1866

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Chief Operating Officer

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y  
08 / 30 / 2012

**Transaction ID : 20336130**

Amount of Each Receipt this Period

5000.00

Full Name (Last, First, Middle Initial)

**C.**

Mailing Address

City

State

Zip Code

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

7500.00

14178.68

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. The Charles Schwab Corporation PAC**

Mailing Address 101 Montgomery Street

City State Zip Code  
San Francisco CA 94101

FEC ID number of contributing  
federal political committee.

**C** C00370114

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

**08** / **02** / **2012**

**Transaction ID : 20238954**

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

## **B. AEGON USA, LLC/TRANSAMERICA CORPORATION PAC**

Mailing Address 1001 Pennsylvania Avenue NW  
Suite 500A South

City State Zip Code  
Washington DC 20004

FEC ID number of contributing  
federal political committee.

**C** C00236414

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3000.00

Date of Receipt

**08** / **10** / **2012**

**Transaction ID : 20352624**

Amount of Each Receipt this Period

3000.00

Contribution

Full Name (Last, First, Middle Initial)

## **C.**

Mailing Address

City State Zip Code

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

/  /

Amount of Each Receipt this Period

**SUBTOTAL** of Receipts This Page (optional)..... ►

8000.00

**TOTAL** This Period (last page this line number only)..... ►

8000.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. Securities Industry and Financial Markets Association**

Mailing Address 120 Broadway  
Floor 35

City State Zip Code  
New York NY 10271

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1865.88

Date of Receipt

M M / D D / Y Y Y Y Y Y  
08 23 2012

**Transaction ID : 20348996**

Amount of Each Receipt this Period

490.38

Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial)

## **B.**

Mailing Address

City State Zip Code

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

## **C.**

Mailing Address

City State Zip Code

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

490.38

490.38



**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
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(check only one)

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☐ 27    ☐ 28a    ☐ 28b    ☐ 28c    ☐ 29    ☐ 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. PNC Bank**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
08		06		2012

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement  
Credit Card Fees

001

Candidate Name

Category/  
Type**Transaction ID : 20348990**

Amount of Each Disbursement this Period

298.00
--------

Credit Card Fees

Office Sought:	<input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
-------------------	---

Full Name (Last, First, Middle Initial)

**B. PNC Bank**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
08		02		2012

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement  
Bank Fees

001

Candidate Name

Category/  
Type**Transaction ID : 20348992**

Amount of Each Disbursement this Period

192.38
--------

Bank Fees

Office Sought:	<input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
-------------------	---

Full Name (Last, First, Middle Initial)

**C.**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y

Mailing Address

City	State	Zip Code

Purpose of Disbursement

Category/  
Type

Candidate Name

Amount of Each Disbursement this Period

--

Office Sought:	<input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
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**SUBTOTAL** of Disbursements This Page (optional)..... ►

490.38
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**TOTAL** This Period (last page this line number only)..... ►

490.38
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